



COMMONWEALTH OF THE NORTHERN MARIANA ISLANDS

DEPARTMENT OF CORRECTIONS

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Part	Section	Subject	Policy No.	Review Date
Administration and Management	Personnel	Personnel Records	1.3.1	
ACA Standards	3-ALDF: 1C-01 Personnel Policy Manual; 1C-21 Confidential Personnel File; 1C-22 Employee May Challenge Information in Personnel File; CNMI Personnel Service System Rules & Regulations Part XI.B Records			
Consent Decree	Paragraph 54; Develop Facility Policies and Procedures			

I. PURPOSE

To describe the general procedures for establishing official personnel files for all Department of Corrections (DOC) employees.

II. POLICY

It is the policy of DOC to ensure that appropriate confidential records are maintained in each employee's personnel file in a manner that protects each employee's privacy rights.

III. PROCEDURES

Current, accurate Personnel Records will be maintained on all department employees. Personnel files will contain only information needed to conduct departmental operations. Personnel Records will be confidentiality, properly safeguarded and stored in filing cabinets accessible only to designated or authorized personnel.

A. Contents

Personnel Records will be maintained by the Department's Administrative Officer. For each active employee, an Official Personnel Folder (or File) will be established and properly maintained. The folder shall contain, at a minimum, the following:

- Application for employment
- Descriptions of positions occupied by the employee
- Copy of each personnel action affecting the employee

- Performance Rating Reports
- Payroll information
- Criminal record check data
- Letters of Recognition and/ or Commendations
- Awards
- Personnel Orders (Transfer or Reassignment)
- Disciplinary and adverse action notices and supporting information
- Letters of Reprimand (retained for two (2) years only)
- Change of status form (personal information)
- Attendance and leave information

Any records of investigation or inquiry concerning an employee shall be filed in a separate folder, clearly identified by the employee's name, date of birth and social security number. The material shall be kept in a locked cabinet with access allowed only on a "need to know" basis and upon approval by the Commissioner of Corrections. The existence of an investigation file shall be noted in the Official Personnel Folder, filed on top of the last entry therein.

The Administrative Officer will maintain the following information separate from the general Personnel Records:

- Medical records
- Active or Inactive Equal Employment Opportunity file
- Training and Education file
- Initial Recruitment file (including interview recording)

B. Accuracy of Contents

Personnel files will be reviewed on a quarterly basis by the Administrative Officer to ensure the files contain only information relevant to the individual's employment with DOC. Each record in the file will be examined for accuracy and completeness.

C. Retirement of Records

Upon the separation of an employee for whatever reason, the employee's Personnel Folder shall be closed and removed to a designated secure storage. All temporary materials shall be removed and either given to the employee or destroyed, prior to sending the file to storage.

D. File Access

Only authorized personnel who have a legitimate need to know may inspect Personnel Records. This is ordinarily the employee's supervisor and the Administrative Officer. Employees may review their files by making a request for such review to the Administrative Officer.

All letters of reference and other reference information, all evaluation material used during the hiring process, management records, and other files separate from the general records file are considered confidential and will not be made available for employee review.

Investigation reports are not available to the employees. If employees persist in their desire to see investigation reports, they should be referred to the agency, which prepared the report or secure authorization from the Commissioner of Corrections prior to having access for review.

Records must be reviewed in the presence of the Administrative Officer or designee. No marks may be made on any document. The Administrative Officer will document and acknowledge the review was conducted in the presence of the observer. The documentation must include the review date and signatures of the Administrative Officer or designee and place it in the employee's personnel file.

All requests from sources outside DOC for personnel information concerning current and former employees will be directed to the Commissioner of Corrections. Confidential information will be released to requestors only in response to written requests and the written consent of the individual employee in question. The following information is considered non-confidential and may be released by the Commissioner of Corrections without authorization from the subject employee:

- Employee's name
- Employment dates
- Position(s) held
- Duty Stations
- Wage and Salary verification

If additional information is requested, the employee must give written consent, which will be retained in the employee's or former employee's personnel file.

E. Challenges of File Contents

An employee may challenge any information in the file by filing a grievance in writing requesting for removal or correction of those in question to the Commissioner of Corrections. The Commissioner of Corrections will respond to the request within

fifteen (15) working days. An employee denied a requested record change of this type may appeal to the Director of the Office of Personnel Management.

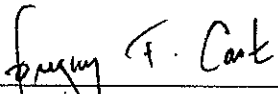
F. Departmental Records

The Administrative Officer will develop standardized record-keeping systems that will generate data to be assimilated into the department's automated data system upon availability of the system.

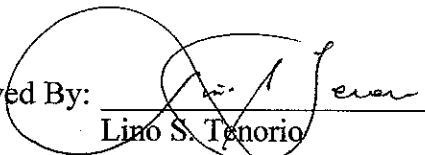
The Department of Corrections recognizes that applicable CNMI/Federal laws and provisions of the CNMI Government Property Management Policies and Procedures preside over this policy and procedures.

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10/24/07
Date

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10/24/07
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10/24/07
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